

SECRET

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| DECLARATION AND POWER OF ATTORNEY FOR DESIGN AND UTILITY PATENT ORIGINAL APPLICATION | ATTORNEY'S DOCKET NO.: 110229.91055 |
|--|--|

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below of the subject matter which is claimed and for which a patent is sought on the invention entitled Method for Inducing Immune Response, the specification of which (check one)

[X] is attached hereto,

[] was filed on _____ as Application No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations § 1.56(a). In this regard, I hereby state that I do not know and do not believe that the same was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, that the same has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than six months (for a design patent application) or more than twelve months (for a utility patent application) prior to this application.

I hereby claim foreign priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed: None

I hereby appoint the following practitioner(s) to prosecute this application and all continuation and divisional application based thereon, and to transact all business in the Patent and Trademark Office connected therewith: Nicholas J. Seay 27,386, Jean C. Baker 35,433, Bennett J. Berson 37,094. Direct all telephone calls to Nicholas J. Seay, at telephone no. (608) 251-5000. Address all correspondence to: Nicholas J. Seay, c/o Quarles & Brady, P.O. Box 2113, Madison, WI 53701-2113.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

| | | |
|---|----------------------|------|
| FULL NAME OF SOLE OR FIRST INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Edward C. Pohlman | | |
| RESIDENCE | CITIZENSHIP | |
| Madison, Wisconsin | USA | |
| POST OFFICE ADDRESS | | |
| 1729 Vahlen, Madison, WI 53704 | | |
| FULL NAME OF SECOND JOINT INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Michael J. Sheehy | | |
| RESIDENCE | CITIZENSHIP | |
| Madison, Wisconsin | USA | |
| POST OFFICE ADDRESS | | |
| 629 Piper Drive, Madison, WI 53711 | | |
| FULL NAME OF THIRD JOINT INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Kenneth A. Barton | | |
| RESIDENCE | CITIZENSHIP | |
| Middleton, Wisconsin | USA | |
| POST OFFICE ADDRESS | | |
| 4919 Hickory Trail, Middleton, WI 53562 | | |

jc551 U.S. PTO
09/19/77
11/13/98

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on May 20, 1997

5/20/97 *Amelof*
Date Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

POHLMANN et al.

Serial No.: 08/347,785

Art Unit: 1813

Filing Date: November 15, 1994

Examiner: J. Parkin

Title: METHOD FOR INDUCING IMMUNE RESPONSE

REVOCATION OF POWER OF ATTORNEY AND
NEW POWER OF ATTORNEY

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I, *x Russell R. Simestad*, *x Executive Vice President*
(name) (title)

of the assignee, Auragen, Inc., as evidenced by the Certificate Under 37 CFR 3.73(b), copy attached hereto, hereby revoke all powers of attorney heretofore existing in the above-identified application and hereby appoint Roberta L. Robins, Reg. No. 33,208 and Thomas P. McCracken, Reg. No. 38,548 as our attorneys and agents to prosecute said application, and to transact all business in the Patent and Trademark Office connected therewith.

Atty D. No. 7011-0020
USSN: 08/347,785
PATENT

Please address all further communications to Thomas P. McCracken at
the following address:

ROBINS & ASSOCIATES
90 Middlefield Road, Suite 200
Menlo Park, CA 94025
Telephone: (415) 325-7812
Fax: (415) 325-7823

Date: x May 8 1997

x Russell R. Amstad
Signature

Atty Dkt 7011-0020
PATENT

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on May 20, 1997.

5/20/97
Date

Auragen
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

POHLMANN et al.

Serial No.: 08/347,785

Art Unit: 1813

Filing Date: November 15, 1994

Examiner: J. Parkin

Title: METHOD FOR INDUCING IMMUNE RESPONSE

CERTIFICATE UNDER 37 CFR 3.73(b)

Auragen, Inc., a corporation certifies that it is the assignee of the entire right, title and interest in the patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

From: Edward L. Pohlmann, Michael J. Sheehy, and Kenneth A. Barton to Agracetus, Inc.

The document was recorded in the Patent and Trademark Office at Reel 7582, Frame 0437.

[X] Additional documents in the chain of title are as follows:

Certificate of Amendment of Certificate of Incorporation of Agracetus,
Inc. dated May 21, 1996.

[X] Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: ☒ May 8, 1997

Name: ☒ Russell R. Smestad

Title: ☒ Executive Vice President

Signature: ☒ Russell R. Smestad



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



JCS51 U.S. PTO
09/19172
11/13/98

PTAS

DECEMBER 12, 1995

NICOLAS J. SEAY
QUARLES & BRADY
P.O. BOX 2113
MADISON, WI 53701-2113

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE
U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE
AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED
BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION
CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE
PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR
HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE
NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR
CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION,
BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

REEL/FRAME: 7582/0437
NUMBER OF PAGES: 4

RECORDATION DATE: 07/24/1995

DOC DATE: 06/28/1995

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
ASSIGNOR:
POHLMANN, EDWARD L.

DOC DATE: 06/28/1995

ASSIGNOR:
SHEEHY, MICHAEL J.

DOC DATE: 06/28/1995

ASSIGNOR:
BARTON, KENNETH A.

FILING DATE: 11/15/1994
ISSUE DATE:

ASSIGNEE:
AGRACETUS, INC.
8520 UNIVERSITY GREEN
MIDDLETON, WISCONSIN 53562

SERIAL NUMBER: 08347785
PATENT NUMBER:

11/22/1995

MRD 7/24/95

Form PTO-1595
(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

08-21-1995

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademark

100045807

Documents or copy thereof.

1. Name of conveying party(ies):

Edward L. Pohlmann
Michael J. Sheehy
Kenneth A. BartonAdditional name(s) of conveying party(ies) attached? Yes ☒ No

2. Name and address of receiving party(ies):

Name: Agracetus, Inc.

Internal Address: _____

Street Address: 8520 University Green

City: Middleton State: WI ZIP: 53562

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: June 28, 1995

4. Application number(s) or patent number(s):

If this document is being filed with a new application, the execution date of the application is: _____

A. Patent Application No.(s) 08/347,785

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Nicholas J. Seay
Internal Address: Quarles & BradyStreet Address: P.O. Box 2113
City: Madison State: WI Zip: 53701-2113

6. Total number of applications and patents involved:

1

7. Total Fee (37 CFR 34)\$40.00

- ☐ Enclosed
☒ Authorized to be charged to deposit account

8. Deposit account number: 17-0055

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nicholas J. Seay

Name of person signing

Signature

7/21/95

Date

Total number of pages comprising cover sheet: 3

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

QBMA0154887

KK60123 08/11/95 08347785

17-0055 060 581

40.00CH

ASSIGNMENT

WHEREAS, We, Edward L. Pohlmann of Madison, Wisconsin, Michael J. Sheehy of Madison, Wisconsin, and Kenneth A. Barton of Middleton, Wisconsin, have made certain inventions which are described in an application for Letters Patent of the United States entitled METHOD FOR INDUCING IMMUNE RESPONSE, Application Number 08/347,785, filed on November 15, 1994, executed by us preparatory to obtaining United States Letters Patent therefor, and

WHEREAS, Agracetus, Inc. (hereinafter referred to as said Company), a Delaware corporation having a place of business at Middleton, Wisconsin is desirous of acquiring the entire interest in said inventions throughout the United States of America and the territories thereof, for all other countries and under all international agreements,

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, receipt whereof is hereby acknowledged, we hereby sell, assign and transfer unto said Company, its successors and assigns, the entire right, title and interest throughout the United States of America and the territories thereof, for all foreign countries and under all international agreements in and to foreign countries and under all international agreements in and to said inventions, the aforesaid application, all other applications hereafter filed in the United States, in any other country, or under any international agreement based in whole or in part on said inventions, and all Letters Patents granted upon said applications by the United States, by any other country or under any international agreement, and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said Company. We further grant to said Company, its successors and assigns, the right to claim for any of said applications the full benefits and priority rights of any international agreement between the United States and any foreign country or countries or between any other countries.

We hereby warrant that we have the full right to make the conveyance herein, and we hereby covenant that we, our heirs, legal representatives and assigns, will when requested, communicate to said Company, its representatives, successors and assigns, all facts known respecting said inventions, execute all divisional, continuing, reissue, reexamination and foreign or international applications, together with individual assignments therefor, make all rightful oaths, sign all lawful papers, testify in any legal proceeding and generally do everything possible to aid said Company, its successors and assigns, in the obtaining of Letters Patent.

IN TESTIMONY WHEREOF, we have hereunto set our hands and seals at the location and on the date indicated with our signatures.

Date: 6/28/95 Ed Pohlmann (SEAL)
Edward L. Pohlmann

STATE OF WISCONSIN)
) SS
COUNTY OF DANE)

Before me on this 28 day of June, 1995, came Edward L. Pohlmann, to me known to be the person named in the foregoing assignment and he acknowledges his execution thereof to be his free act and deed.

(SEAL)

Peggy A. Wagner
Notary Public, State of Wisconsin
My Commission: 10/13/96

Date: 6/28/95 Michael J. Sheehy (SEAL)
Michael J. Sheehy

STATE OF WISCONSIN)
) SS
COUNTY OF DANE)

Before me on this 28 day of June, 1995, came Michael J. Sheehy, to me known to be the person named in the

DECLARATION AND POWER OF ATTORNEY FOR DESIGN
AND UTILITY PATENT ORIGINAL APPLICATION

ATTORNEY'S DOCKET NO.:
110229.91055

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD FOR INDUCING IMMUNE RESPONSE, the specification of which (check one)

[] is attached hereto,

[X] was filed on November 15, 1994 as Application No. 08/347,785.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

| | | |
|---|--------------------------|---------|
| FULL NAME OF SOLE OR FIRST INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Edward L. Pohlmann | <i>Ed Pohlmann</i> | 6/28/95 |
| RESIDENCE | CITIZENSHIP | |
| Madison, Wisconsin | US | |
| POST OFFICE ADDRESS | | |
| 1729 Vahlen, Madison, WI 53704 | | |
| FULL NAME OF SECOND JOINT INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Michael J. Sheehy | <i>Michael J. Sheehy</i> | 6/28/95 |
| RESIDENCE | CITIZENSHIP | |
| Madison, Wisconsin | US | |
| POST OFFICE ADDRESS | | |
| 629 Piper Drive, Madison, WI 53711 | | |
| FULL NAME OF THIRD JOINT INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Kenneth A. Barton | <i>Kenneth A. Barton</i> | 6/28/95 |
| RESIDENCE | CITIZENSHIP | |
| Middleton, Wisconsin | US | |
| POST OFFICE ADDRESS | | |
| 4919 Hickory Trail, Middleton, WI 53562 | | |

Application for U.S. Letters Patent Entitled

PARTICLE-MEDIATED DELIVERY OF ANTIGENS (As Now Amended)

a 1.53(b) of 08/347,785 filed on even date herewith

by Inventors:

Edward L. POHLMANN
Michael J. SHEEHY
Kenneth A. BARTON

CERTIFICATE OF MAILING BY "EXPRESS MAIL"
"Express Mail" Mailing Label No. EL068 326 20445
Date of Deposit NOVEMBER 13 1998
I hereby certify that this paper or fee is being deposited
with the United States Postal Service "Express Mail Post
Office to Addressee" service under 37 CFR 1.10 on the date
indicated above and is addressed to the Assistant
Commissioner for Patents, Washington, D.C. 20231
PATRICIA K. HUNEES
(Typed or Printed Name of Person Mailing Paper or Fee)
Patricia K. Hunees
(Signature of Person Mailing Paper or Fee)

Robins & Associates
90 Middlefield Road, Suite 200
Menlo Park, CA 94025
Telephone: 510-742-9700
Facsimile: 650-325-7823

Attorney Docket No. 7011-0020.01

RECEIVED

JUL 01 1997



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

ROBINS & ASSOCIATES

| | | | |
|--------------------|-------------|-----------------------|---------------------|
| APPLICATION NUMBER | FILING DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO. |
| 08/347785 | 11/15/94 | POHLMANN | 110229.91055 |

TOM-6020

NICHOLAS J. SEAY
QUARLES AND BRADY
P O BOX 2113
MADISON WI 53701-2113

EXAMINER
PARKIN, JEFFREY

ART UNIT
1813

DATE MAILED: 06/27/97

This is in response to the Power of Attorney filed

05/27/97

- ☒ 1. The Power of Attorney to you in this application has been revoked by the applicant. Future correspondence will be mailed to the new address of record. 37 CFR 1.33.
- ☐ 2. The Power of Attorney to you in this application has been revoked by the assignee who has intervened as provided by 37 CFR 3.71. Future correspondence will be mailed to the new address of record. (37 CFR 1.33).
- ☐ 3. The withdrawal as attorney in this application has been accepted. Future correspondence will be mailed to the new address of record. 37 CFR 1.33.

This is a communication from the
Patent and Trademark Office

- ☒ 4. The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the below-noted address as provided by 37 CFR 1.33.
- ☐ 5. The Power of Attorney in this application is not accepted for the reason(s) checked below:
- ☐ a. The Power of Attorney is from an assignee and the Certificate required by 37 CFR 3.73 (b) has not been received.
 - ☐ b. The person signing for the assignee has omitted their empowerment to sign on behalf of the assignee.
 - ☐ c. The inventor(s) is without authority to appoint attorneys since the assignee has intervened as provided by 37 CFR 3.71.
 - ☐ d. The signature of _____, a co-inventor in this application, has been omitted. The Power of Attorney will be entered upon receipt of confirmation signed by said co-inventor.
 - ☐ e. The person(s) appointed in the Power of Attorney is not registered to practice before the U.S. Patent & Trademark Office.
 - ☐ f. The revocation is not signed by the applicant, the assignee of the entire interest, or one particular principal attorney having the authority to revoke.

ROBINS AND ASSOCIATES
90 MIDDLEFIELD ROAD, SUITE 200
MENLO PARK CA 94025

This is a communication from the
Patent and Trademark Office